

**The California Department of Transportation
Local Assistance Program
Baseline Resources and Staffing Levels**

In early 2010, the Legislative Analyst's Office issued a Supplemental Report to the 2010–11 Budget requiring Caltrans Local Assistance Program (Program) to provide:

- a) *A baseline review of the department's local assistance workload, including a listing of major activities performed, the level of resources needed to complete each activity, and how the workload aligns with current staffing levels.*
- b) *A description of the changes to the local assistance workload from requirements of the new federal act.*

The Fiscal Year (FY) 2012–13 resources for the Local Assistance Program total 309 positions (281 Authorized and 28 Temporary Help) and \$36 million for direct support of the Program (Attachment 1).

A Baseline Review of Caltrans Local Assistance Workload

In response to these requirements, and in anticipation of the new federal transportation act, the Program began the development of workload standards and uniform charging practices. In July 2010, the Program began using the Workload Activity Charging Structure (WACS) (Attachment 2) as the uniform charging practice and started collecting and monitoring time charges and data. The WACS is organized into eight core functions and incorporates a list of major activities performed by the Program as well as task level details for each activity:

1. Program Management
2. Environmental Compliance
3. Project Delivery
4. Technical Assistance and Quality Assurance
5. Accountability
6. Proposition 1B Bond
7. American Recovery and Reinvestment Act (Recovery Act) Reporting
8. Resource Management

The Program has developed a workload standards and norms methodology to determine level of resources needed to complete each of the WACS activities. The methodology consists of two components: product-based workload and activity-based workload.

The product-based workload consists of the federal and state required activities that produce a "product." Products are similar, repetitive and measurable, therefore can be normalized. The Program evaluated the individual steps, processes, and length of time required to complete a product and determined the norms for those products. These norms were then validated against the data collected. The product-based workload is based on a two-year average (FY 2010–11 and 2011–12) of the number of products produced in one year and production norms for each product.

The activity-based workload consists of the different federal and state funding programs that the Program implements and coordinates. The Program tracked the hours it takes to perform these activities and to implement and coordinate each program.

The activity-based workload is based on a two-year average of actual time recorded for each activity.

By utilizing this approach, the Program is able to capture local assistance activities including major activities performed, the level of resources needed to complete each activity, and how the workload aligns with current staffing levels (Attachments 3 and 4). This approach also allows the Program to increase its efficiencies and allocate its financial resources as efficiently and effectively as possible.

A Description of changes to Local Assistance workload from MAP-21

MAP-21 has significantly changed the way federal funding flows to the state as well as adding more flexibility on project delivery and imposing more requirements. The Federal Highway Administration (FHWA) has not yet determined how this flexibility and additional requirements will be implemented and the process may not be finalized for another 12 to 18 months. In addition, State legislation has not yet been enacted, such legislation may have an impact to the Local Assistance Program workload as well. The Program will closely monitor these changes and request the resource adjustments in future budget cycles if necessary. Some of these changes include, but are not limited to:

- Over 5,000 miles of local roadways are now designated as National Highway System (NHS). The expectation from FHWA on the NHS is higher.
- MAP-21 establishes performance measures in seven areas. Once established, Local Assistance will be expected to track, monitor, and report on some of these performance measures.
 - National Goals and Performance Management Measures (Section 1203)
 - Statewide and Nonmetropolitan Transportation Planning (Section 1202)
 - Metropolitan Transportation Planning (Section 1201)
 - National Highway Performance Program (Section 1106)
 - Highway Safety Improvement Program (Section 1112)
 - Congestion Mitigation and Air Quality Improvement Program (Section 1113)
 - National Freight Policy (Section 1115)
- Eliminated the Transportation Enhancement (TE) Program and introduced the Transportation Alternative (TA) Program. Under the old TE program, project selection was done by Regional Transportation Planning Agencies. Local Assistance will do project selection for certain portions of the TA Program.
- Contract Manager/General Contractor Consultant selection process
- Consultant Contract Procurement and Administration Selection
 - A hybrid solicitation process that combines RFP and RFQ processes
- Advanced Acquisition of Real Property rules have been expanded
- Expansion of National Environmental Policy Act (NEPA) Assignment
- Creates several new Categorical Exclusion categories

Deferred Tasks by Caltrans Local Assistance Program

The Program has developed a list of tasks that have been deferred due to lack of resources (Attachment 5). As baseline workload decreases in areas such as Recovery Act, the resources will be redirected to perform the higher priority deferred tasks.

LOCAL ASSISTANCE PROGRAM (2030)
ORGANIZATIONAL CHARTS
KEY TERMS AND POSITION COUNTS
Based on Initial FY 12-13 Allocations (as of 08/20/12)*

Attachment 1

ORG CHART KEY TERMS

*Limited-Term (LT)

D - District

(M) - Managerial

(Sup) - Supervising

(Spec) - Specialist, Non-Managerial

CEA - Career Executive Assignment

Exec Asst - Executive Assistant

Office Tech (G) - Office Technician, General

Office Tech (T) - Office Technician, Typing

Supv TE - Supervising Transportation (Civil)

Sr TE - Senior Transportation Engineer (Civil)

Trans Eng - Transportation Engineer (Civil)

Supv TP - Supervising Transportation Planner

Sr TP - Senior Transportation Planner

Trans Plnr - Transportation Planner

Assoc TP - Associate Transportation Planner

Supv EP - Supervising Environmental Planner

Sr EP - Senior Environmental Planner

Env Plnr - Environmental Planner

SSM - Staff Services Manager

AGPA - Associate Governmental Program Analyst

SSA - Staff Services Analyst

NS - Natural Sciences

SRTS/SR2S - Safe Routes to School Program (Federal and State)

FADS - Federal Aid Data System

ITS - Intelligent Transportation System

Dash Lined Boxes (white) - Non Local Assistance

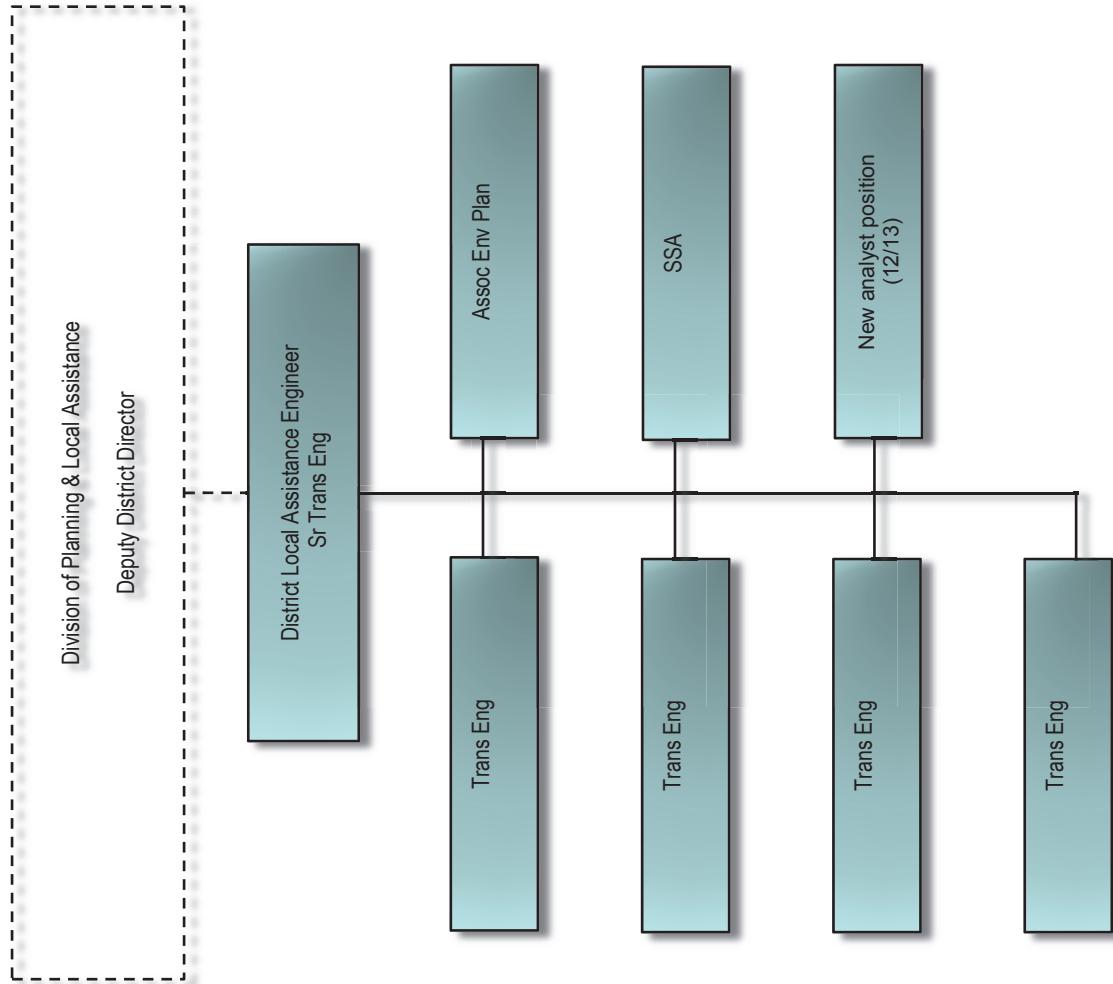
Dotted Lined Boxes (gray) - Local Assistance Funded Positions in other Divisions (i.e.; Environmental and Right of Way staff)

ORG CHART POSITION COUNTS

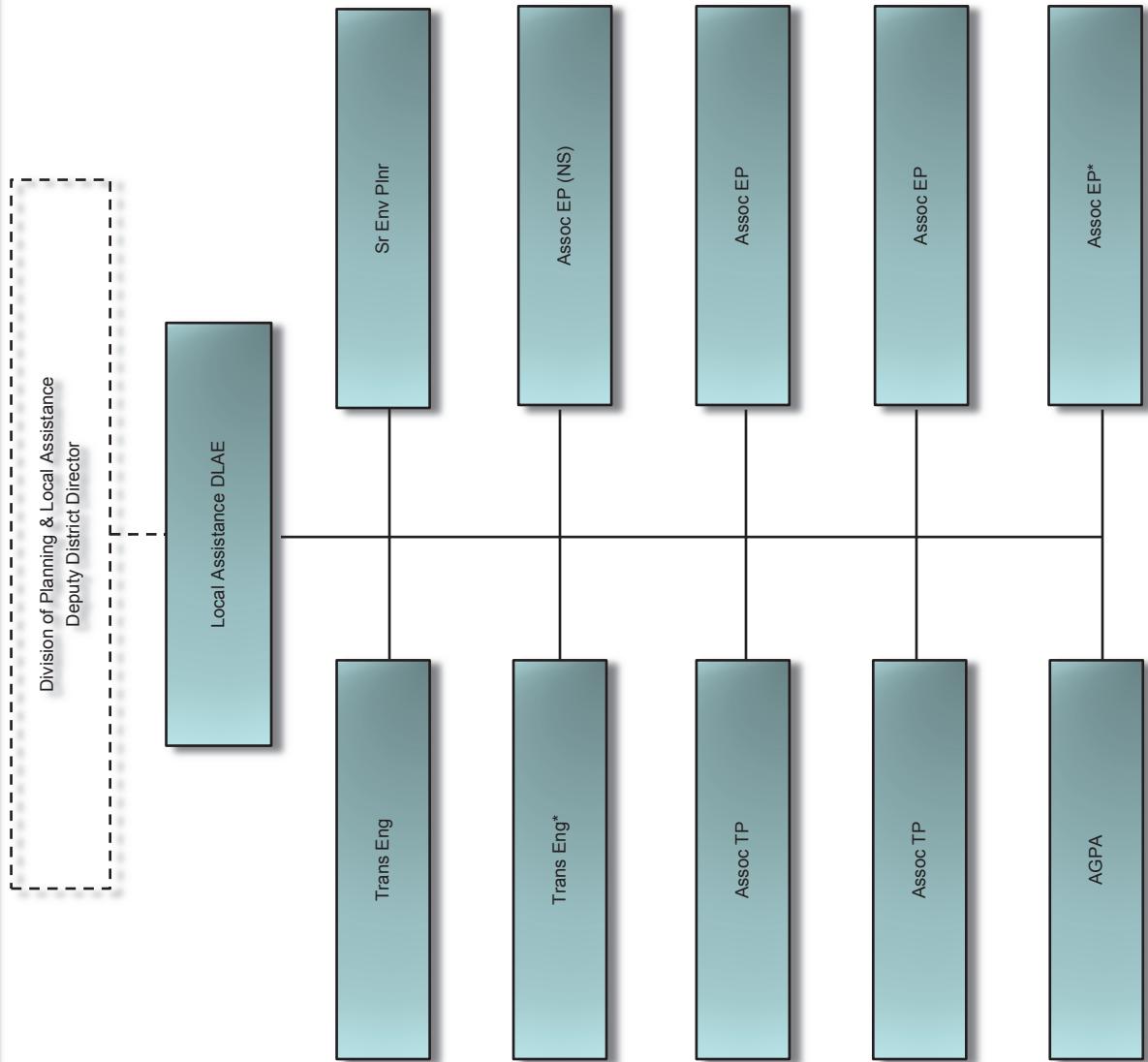
	DISTRICT	REGULAR POSITIONS	TEMP-HELP POSITIONS	AUTHORIZED POSITIONS	HIRING CAPACITY	ORG CHART ACTUAL POSITIONS	ORG CHART DIFFERENCE
	01	7	1	8	8	8	0
	02	9	1	10	11	11	(1)
	03	18	2	20	20	20	0
	04	30	3	33	33	32	1
	05	10	1	11	11	11	0
	06	20	2	22	22	22	0
	07	35	4	39	39	39	0
	08	13	1	14	14	12	2
	09	4	4	4	4	4	0
	10	15	2	17	17	16	1
	11	11	1	12	12	13	(1)
	12	11	1	12	12	12	0
	50	95	8	103	103	105	(2)
	TOTALS	281	28	309	309	309	0

*Authorized Hiring Capacity is based on initial FY 12-13 Allocations. Districts plan to meet their authorized capacity through hiring or attrition during the year, as necessary.

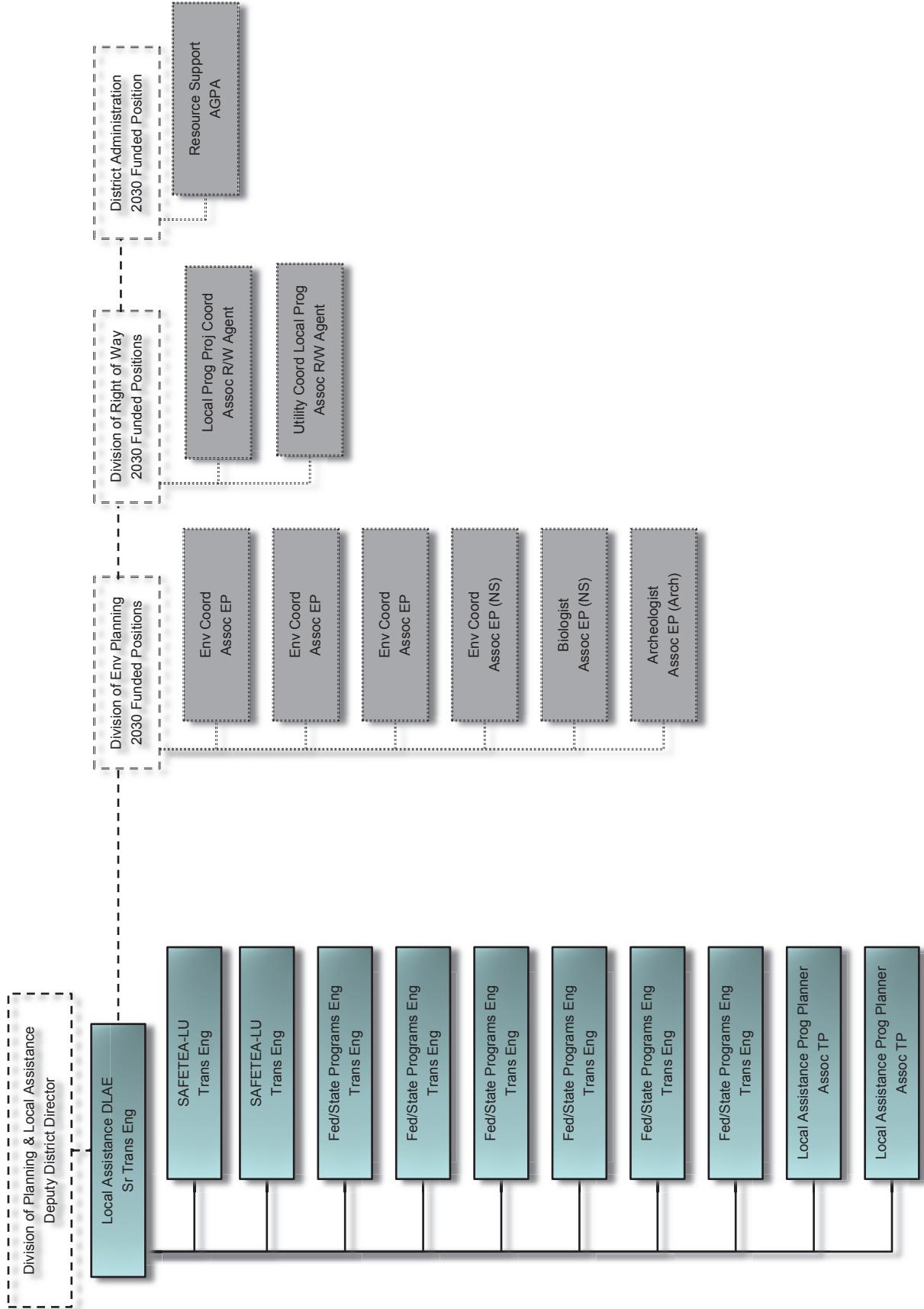
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 1 ORGANIZATIONAL CHART



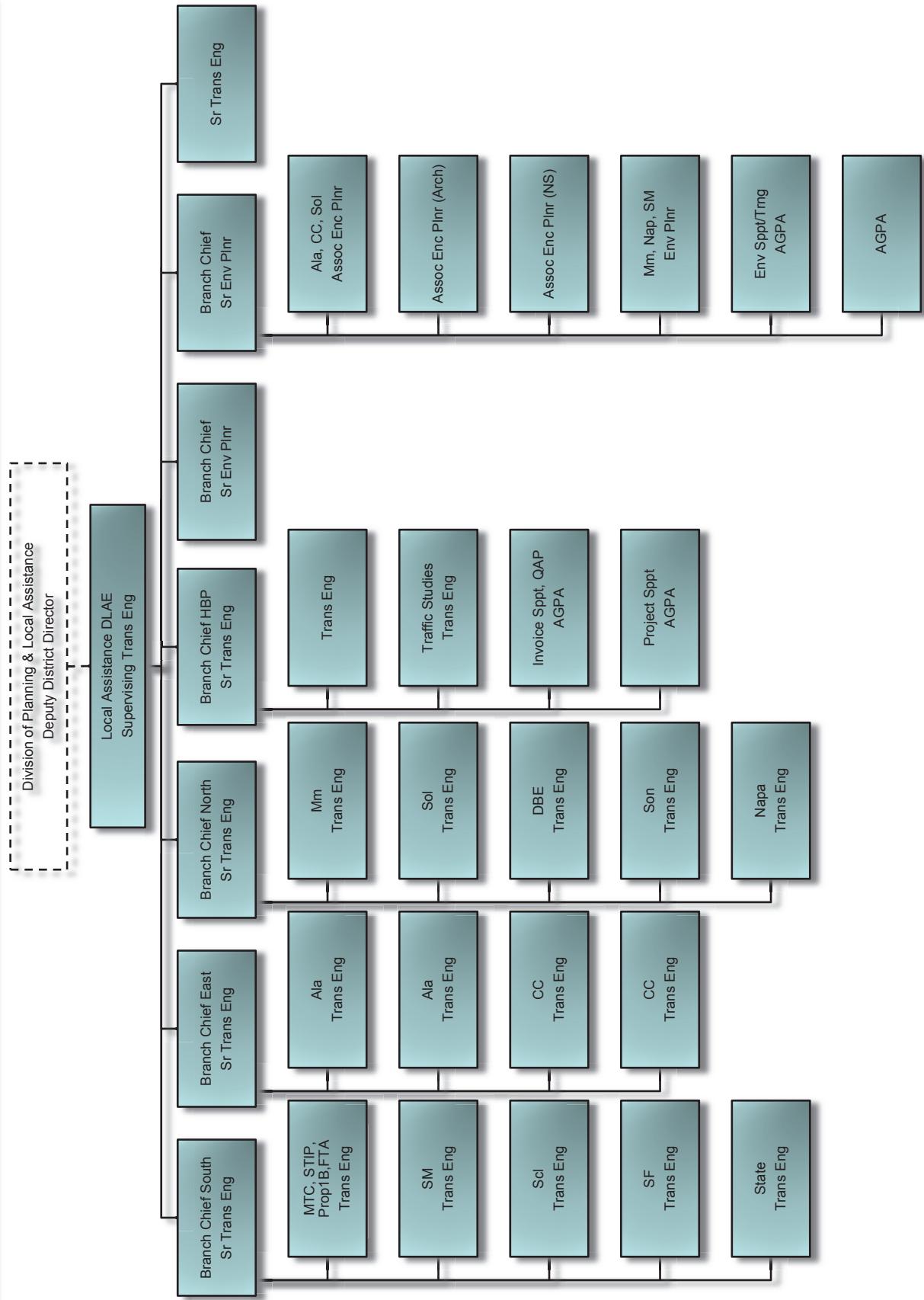
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 2 ORGANIZATIONAL CHART



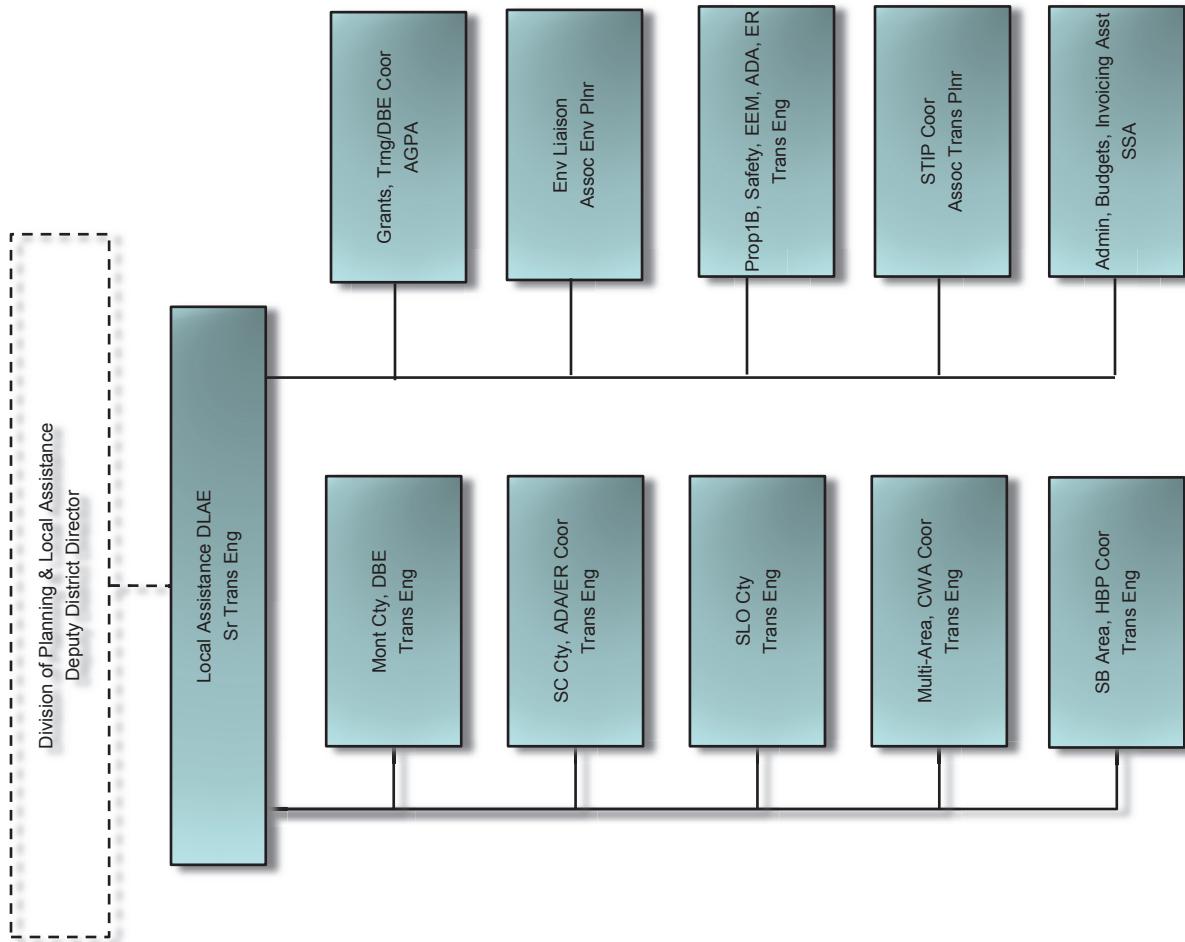
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 3 ORGANIZATIONAL CHART



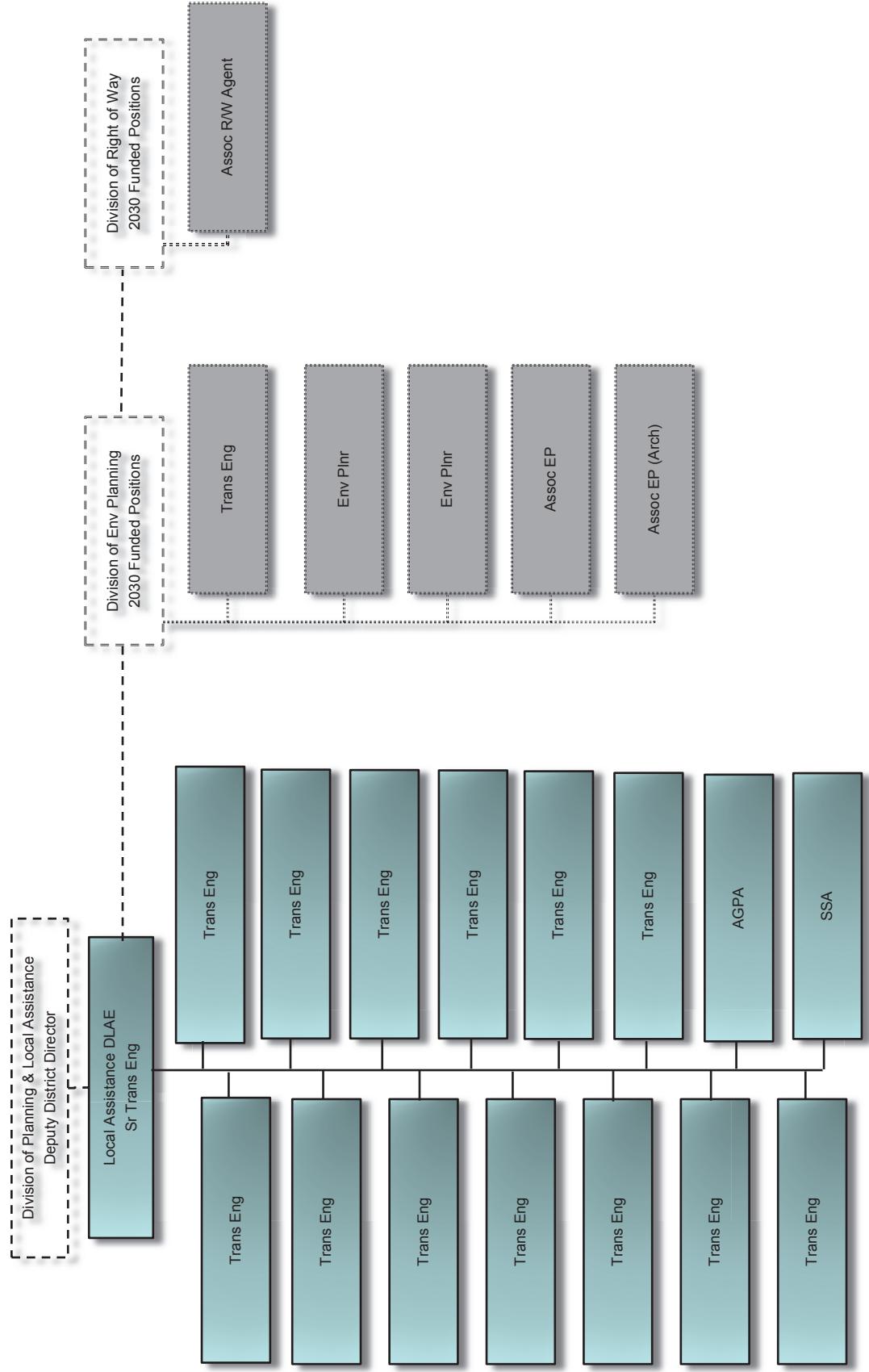
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 4 ORGANIZATIONAL CHART



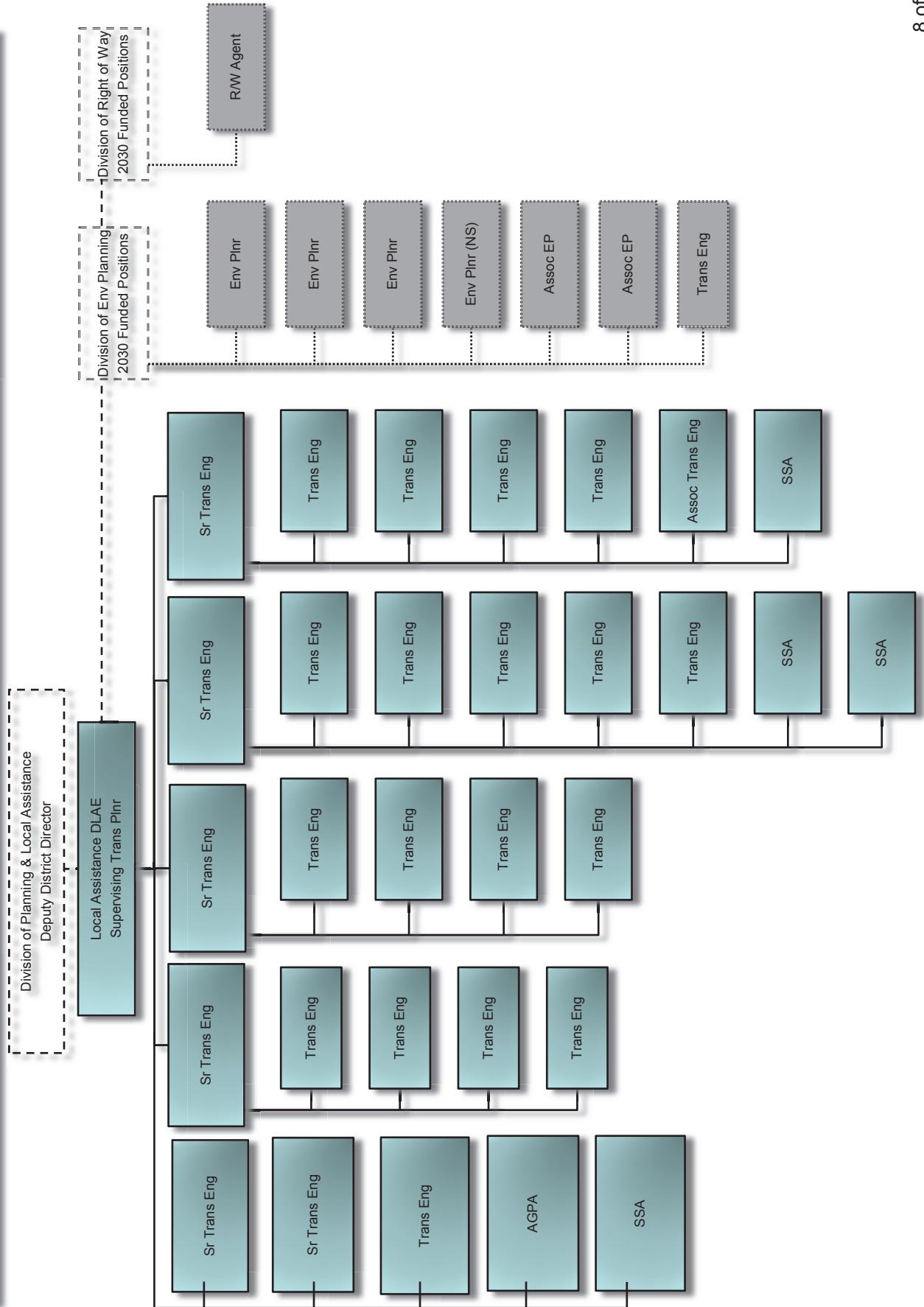
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 5 ORGANIZATIONAL CHART



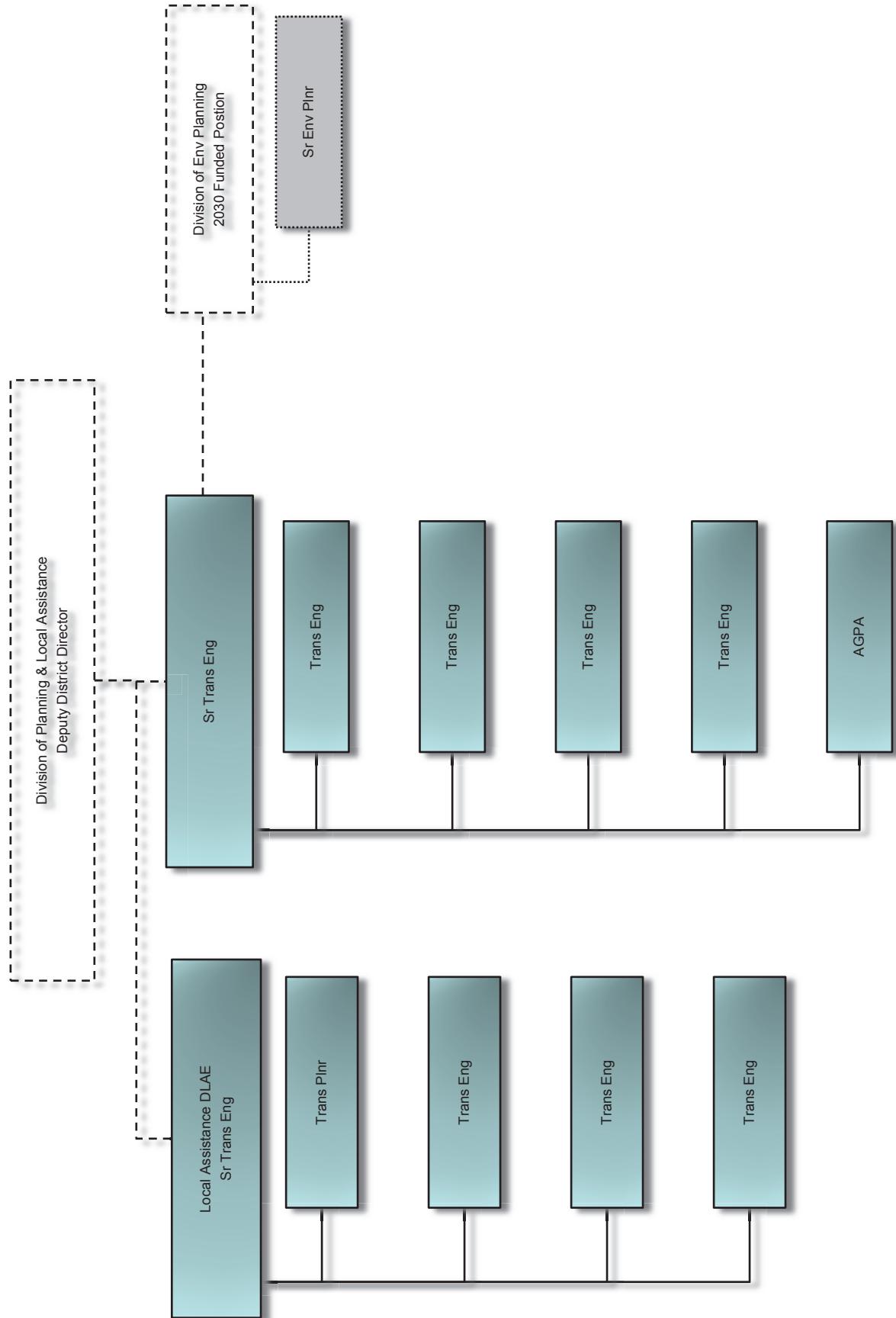
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 6 ORGANIZATIONAL CHART



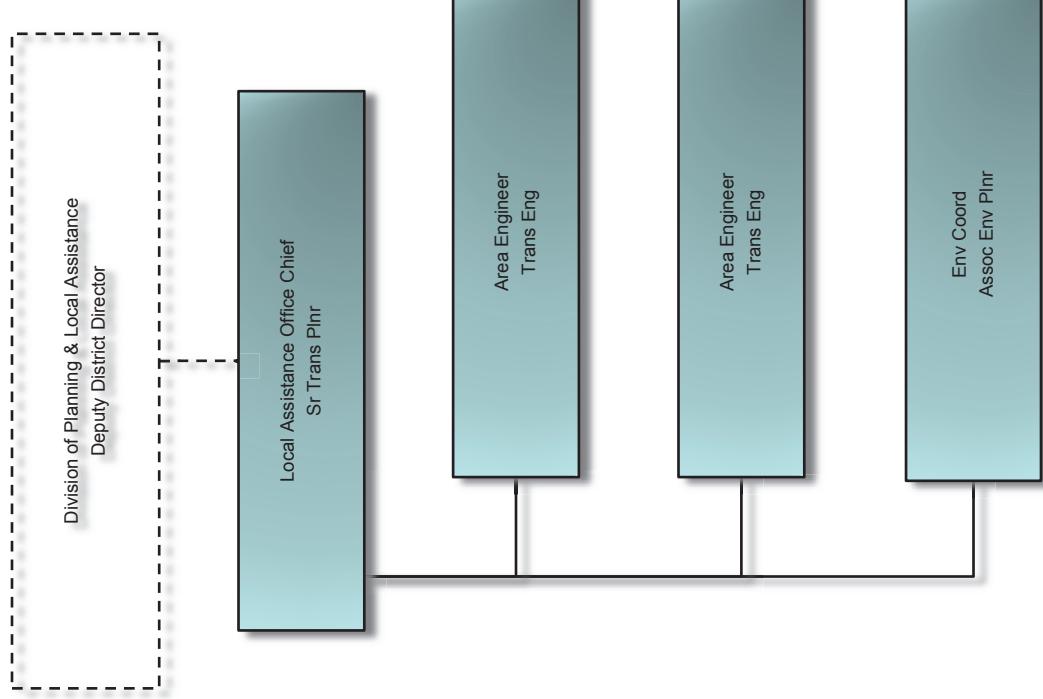
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 7 ORGANIZATIONAL CHART



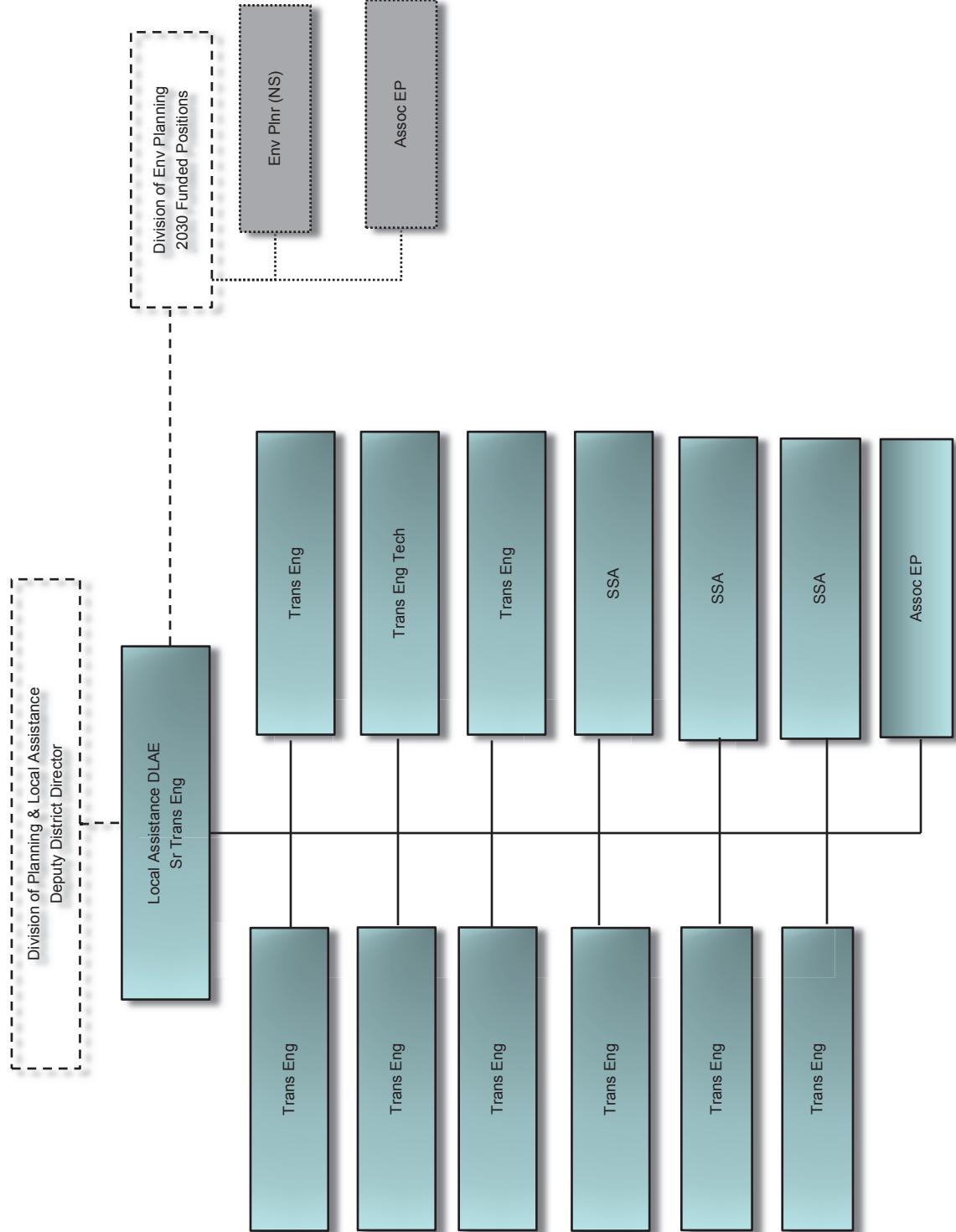
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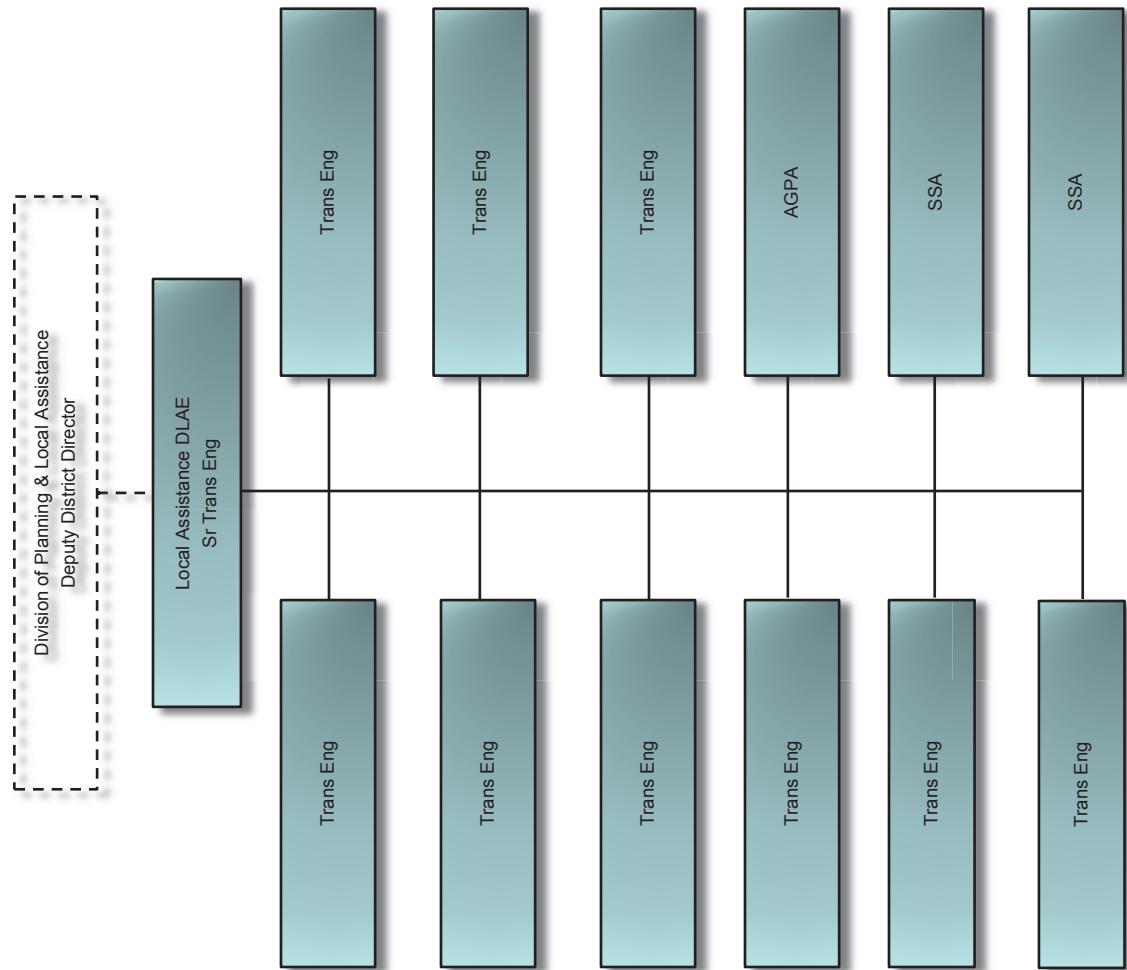
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 9 ORGANIZATIONAL CHART



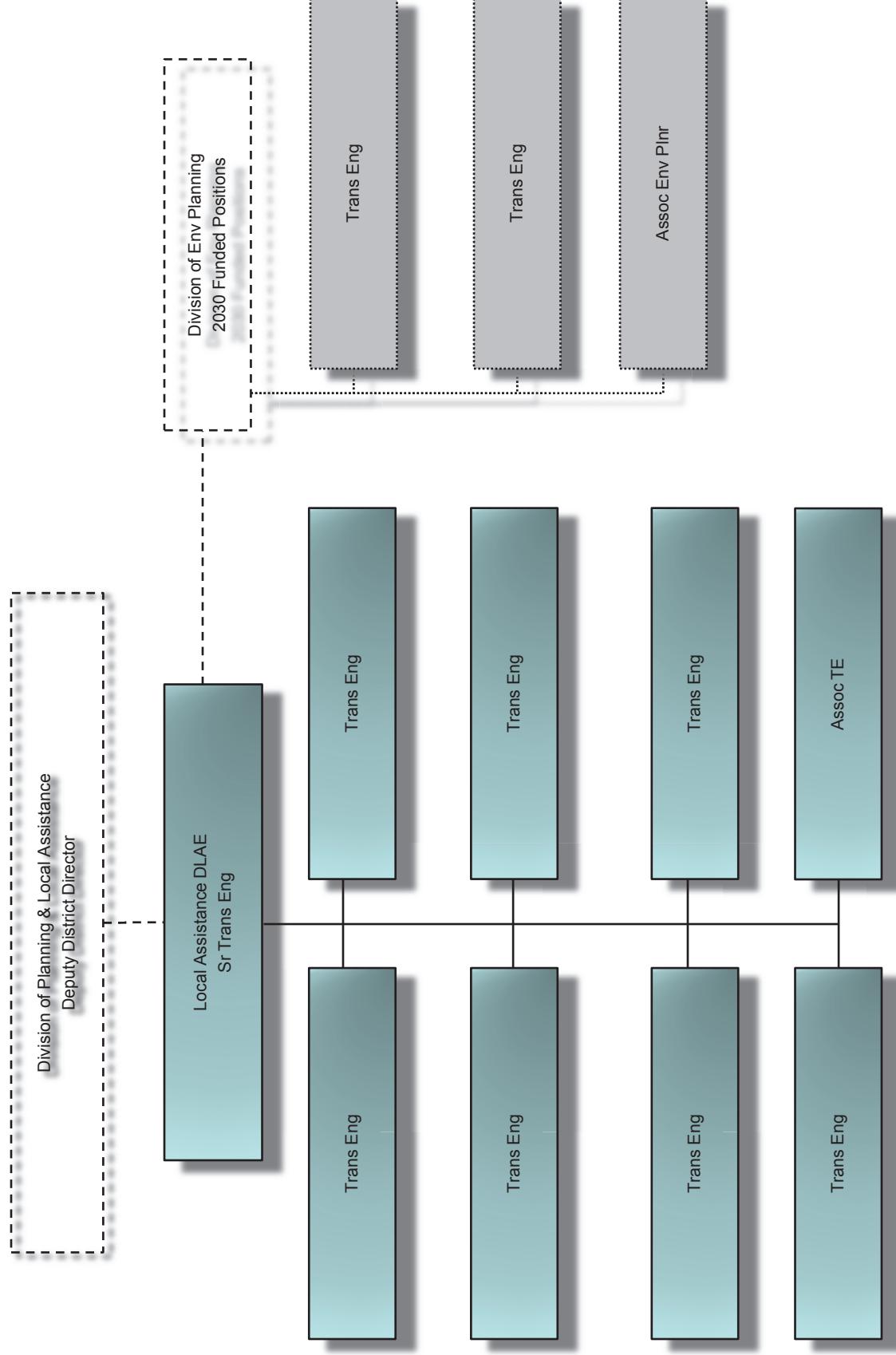
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 10 ORGANIZATIONAL CHART



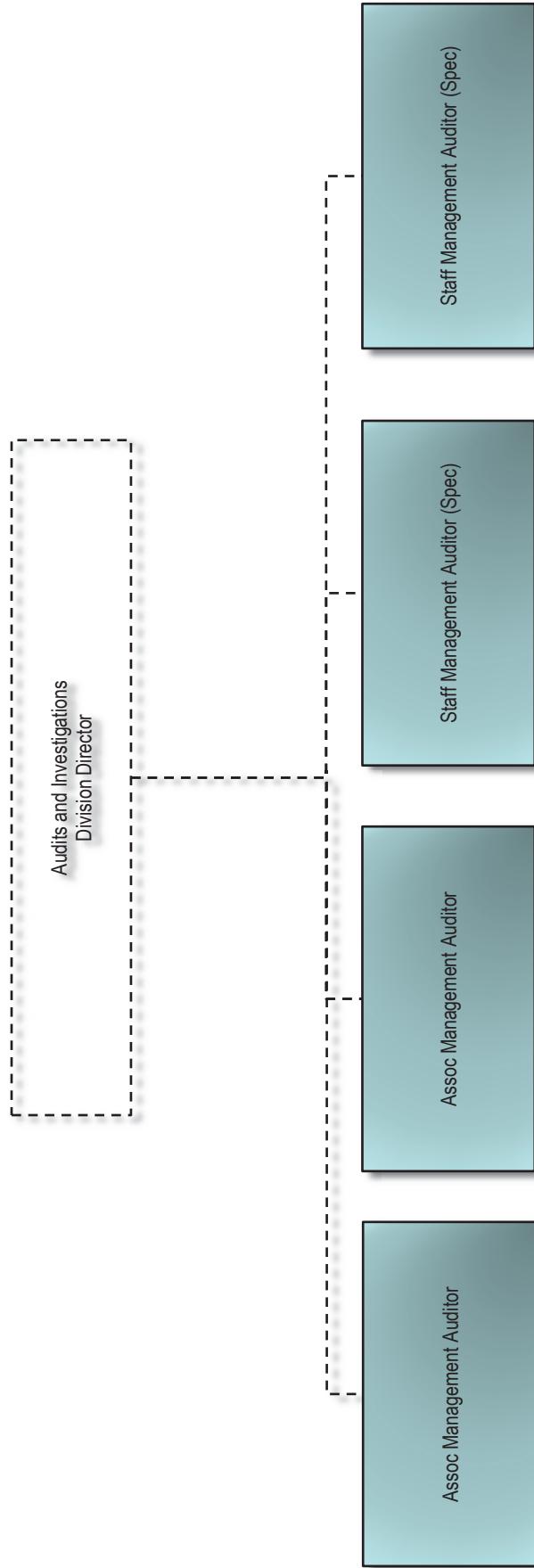
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 11 ORGANIZATIONAL CHART



LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 12 ORGANIZATIONAL CHART



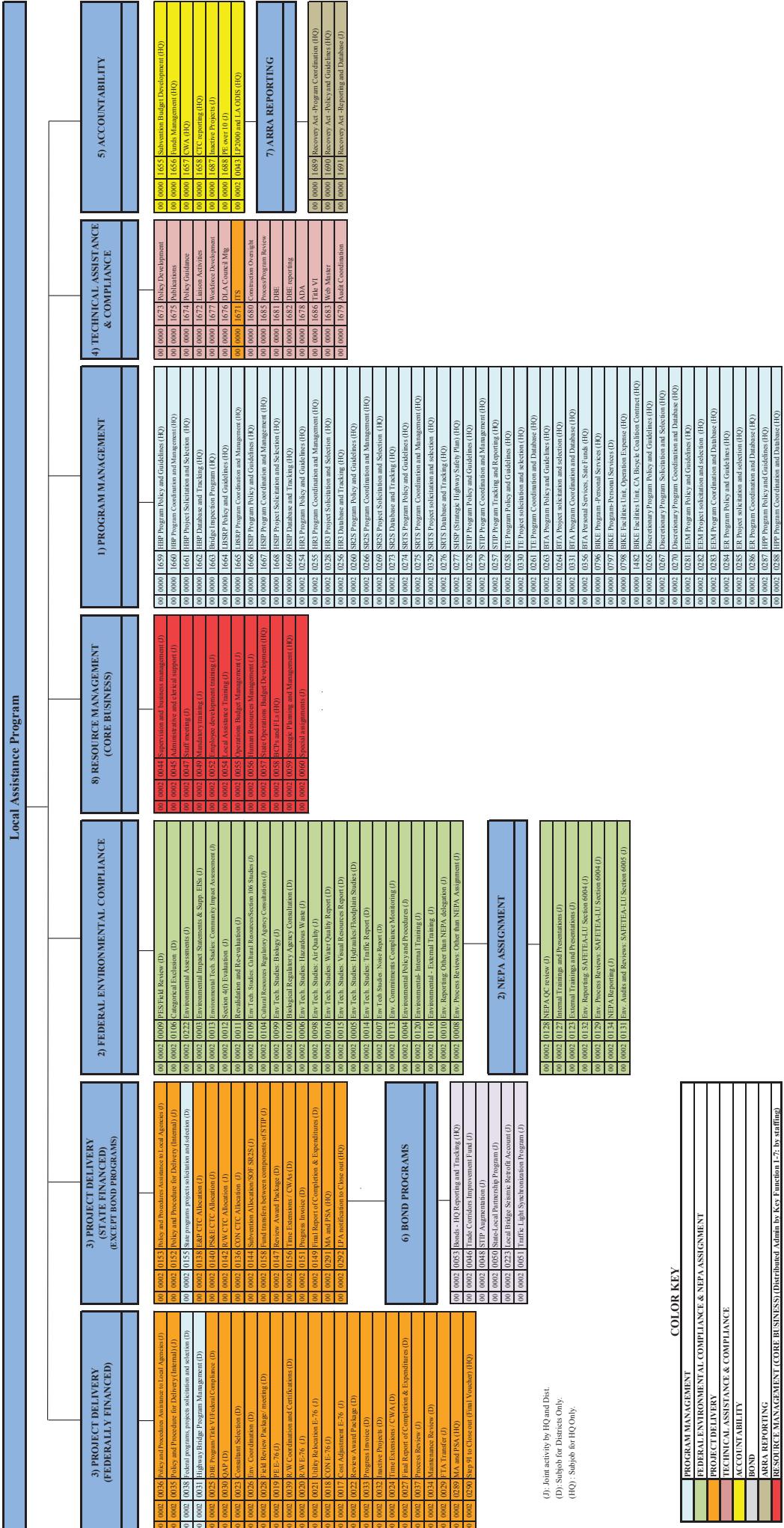
LOCAL ASSISTANCE PROGRAM (2030) DISTRICT 77 ORGANIZATIONAL CHART



CORE FUNCTION VIEW

Local Assistance Program
Work Activities Charging Structure

11-01-11
Attachment 2



**FY 2012-13 LOCAL ASSISTANCE PROGRAM
ZERO-BASED BUDGET LAO SUMMARY REPORT**

MAJOR PROGRAM FUNCTION	DISTRICT PRODUCTS and HOURS												DOLLARS BUDGETED			TOTAL DOLLARS			
	D1 Hours	D2 Hours	D3 Hours	D4 Hours	D5 Hours	D6 Hours	D7 Hours	D8 Hours	D9 Hours	D10 Hours	D11 Hours	D12 Hours	D77 Hours	District Total Hours	D50 Hours	PROG HOURS	PS	OE&E	
1) PROGRAM MANAGEMENT (Activity Based)	329	2,235	2,375	4,885	1,945	1,530	3,080	2,085	535	655	1,835	805	-	22,294	25,682	47,976	\$ 3,233,731	\$ 263,409	\$ 3,497,141
2(A) FEDERAL ENVIRONMENTAL COMPLIANCE & NEPA ASSIGNMENT (Product Based)	3,630	2,580	5,230	13,160	3,020	10,860	11,090	4,960	980	10,160	4,280	4,260		74,210	-	74,210	\$ 3,688,771	\$ 300,475	\$ 3,989,246
2(B) FEDERAL ENVIRONMENTAL COMPLIANCE & NEPA ASSIGNMENT (Activity Based)	490	1,675	2,785	2,725	95	1,395	4,305	1,170	625	370	480	940		17,055	6,665	23,720	\$ 1,511,493	\$ 123,121	\$ 1,634,615
3(A) PROJECT DELIVERY (Product Based)	5,880	4,320	12,680	22,360	7,130	15,155	18,600	4,950	1,710	12,860	5,990	5,440		117,075	29,210	146,285	\$ 8,279,671	\$ 674,435	\$ 8,954,106
3(B) PROJECT DELIVERY (Activity Based)	1,460	3,170	5,450	8,160	4,710	5,735	13,755	4,930	2,080	3,710	5,370	4,520		63,050	7,790	70,840	\$ 4,198,854	\$ 342,025	\$ 4,540,879
4) TECHNICAL ASSISTANCE & COMPLIANCE (Activity Based)	25	100	395	265	30	100	190	570	125	20	10	75	7,032	8,937	28,132	37,069	\$ 2,585,149	\$ 182,766	\$ 2,767,915
5) ACCOUNTABILITY (Activity Based)														-	12,290	12,290	\$ 947,604	\$ 77,189	\$ 1,024,793
6) BOND - 17 Limited Term Positions (Activity Based)	460	750	1,880	2,015	400	890	2,720	1,930	110	905	1,190	945		14,195	15,605	29,800	\$ 1,642,000	\$ 152,000	\$ 1,794,000
7) ARRA REPORTING (Activity Based)														-	4,440	4,440	\$ 342,340	\$ 27,886	\$ 370,226
8) RESOURCE MANAGEMENT (CORE BUSINESS - Activity Based)	1,875	2,715	4,435	4,475	1,985	3,045	14,580	4,065	930	1,420	2,175	4,300		46,000	51,124	97,124	\$ 6,909,795	\$ 562,850	\$ 7,472,644

DISTRICT NUMBER	1	2	3	4	5	6	7	8	9	10	11	12	77	DISTRICT TOTALS	HQ	PROG TOTALS	FY 12-13 BUDGET		
	DISTRICT HOURS																PS\$'s	OE\$'s	TOTAL\$'
POSITIONS*	8	10	20	33	11	22	39	14	4	17	12	4	206	103	309	\$ 33,339,409	\$ 2,706,156	\$ 36,045,565	

*Positions include
281 authorized plus
28 Temp-Help

**California Department of Transportation
Local Assistance Program
Deferred Tasks and Activities**

- Damage Assessment Forms submittal
- Webpage creation and updates for Special and Discretionary Programs
- Staff development training
- Timely agreement/invoice processing
- Updates to the Standard Environmental Reference
- Early District coordination meeting, field reviews, ongoing team meetings and guidance to agencies
- Revalidating projects moving to next stage of project delivery or with scope changes
- Outreach to environmental regulatory agencies, including early field reviews for complex or sensitive projects
- Completion of the Project Studies Office Bulletin to clarify the use of funds on bridge and safety programs
- Local Highway Bridge Program delivery survey for FFY 10/11 and FFY 11/12
- Completion of Unknown Foundation Office Bulletin for bridge scour evaluation
- Updating existing internet web page for bridge and safety programs
- Completion of guidelines for long approach roadwork review and approval
- Update Bridge Preventive Maintenance Program Guidelines
- District /Local Agency Training for bridge and safety programs
- Local Assistance Academy Training on Highway Bridge Program Guidelines
- Federal Transportation Improvement Program Federal Statewide Transportation Improvement Program Amendment documentation
- Update Highway Bridge Program and Seismic Guidelines
- Project Evaluation and Reporting for Past Safety Projects/Program Funding
- Maximize the Data-Driven nature of the Local - Highway Safety Improvement Program
- Train Local Agencies on the benefits/need for Data-Driven Safety Analysis and how to effectively and efficiently apply for Highway Safety Improvement Program funding
- Transition program-data from an Excel file to a more formal database
- Quarterly Safe Routes To Schools Statewide Advisory Committee meetings
- Non-infrastructure technical assistance statewide work to ensure the goals of the program are in alignment with Caltrans
- Safe Routes To School program evaluation
- Completion of policies specific to Safe Routes to Schools Non-Infrastructure Program
- Safe Routes To School Training to Districts and Locals
- More thorough review of State programs projects solicitation and selection
- Update Local Assistance Procedures Manual
- Update Local Assistance Program Guidelines

**California Department of Transportation
Local Assistance Program
Deferred Tasks and Activities**

- Disadvantaged Business Enterprises Compliance reviews
- Process reviews of federal-aid projects
- Disadvantaged Business Enterprises Participation Goal Setting Guidance
- Provide training on Local Assistance On-line Data Input System for data input and technical assistance to local agencies for Recovery Act and Bond programs